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PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant:

Serial No.: 10/626,104

Filed: July 23, 2003

For: Ridge Waveguide Semiconductor
Laser Device

Art Unit: 2828

Examiner: Van Roy, Tod Thomas

Atty. Dkt.: 01ZS-105709

**CERTIFICATE OF
MAILING/TRANSMISSION
(37 C.F.R. § 1.8A)**

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**INFORMATION DISCLOSURE STATEMENT
PURSUANT TO 37 C.F.R. §1.56 AND §§1.97 – 1.98**

Commissioner for Patents
P.O. Box 1450
Alexandria, CA 22313-1450

Sir:

The citations listed on the enclosed substitute PTO SB-08 Form are submitted under
37 C.F.R. §§1.97 and 1.98, and in compliance with the duty of disclosure as defined in
37 C.F.R. §1.56.

The Examiner is requested to make these citations officially of record in the application.
This Information Disclosure Statement is being submitted before receipt of the first Office
Action for the above-identified application, therefore, pursuant to 37 C.F.R. §1.97, no fee or
certification is required.

All of the listed citations are in English with the exception of the following:

- B1. Japanese Patent Publication No. 6-037389, published February 10, 1994;
- B2. Japanese Patent Publication No. 6-188513, published July 8, 1994;
- B3. Japanese Patent Publication No. 7-030199, published January 31, 1995; and

B4. Japanese Patent Publication No. 7-283484, published October 27, 1995.

Human-generated translations of Citations B1 and B4 are attached to the backs of the respective citations, and fulfill the requirement to provide a concise explanation of the relevance, as it is presently understood by the individual designated in § 1.56(c) most knowledgeable about the content of the information.

As to Citation B2, the website of the European Patent Office indicates that U.S. Patent No. 5,383,214 (Citation A1) and Citation B2 are related documents. After extensive comparison of the two documents, including the review of machine-generated translations, the Undersigned believes that Citation A1 is the corresponding U.S. patent to Citation B2, and, except for some of the dependent claims and additional description in Citation A1, is a substantial English-language translation thereof. Accordingly, the Undersigned submits Citation A1 to fulfill the requirement to provide a concise explanation of the relevance of Citation B2, as it is presently understood by the individual designated in § 1.56(c) most knowledgeable about the content of the information therein.

In addition to this, the Undersigned provides an English-language abstract of Citation B2, and two machine-generated translations of Citation B2, all of which are attached to the citation. The first machine-generated translation was obtained on August 24, 2001 from the online website of the Japanese Patent Office (<http://www1.ipdl.jpo.go.jp/PA1/cgi-bin/PA1INDEX>). Recently, the administration of the online Japanese patent database has been transferred to The National Center for Industrial property Information (NCIPI). The abstract and second machine-generated translation of Citation B3 was obtained on April 18, 2005 from this site (<http://www19.ipdl.ncipi.go.jp/PA1/cgi-bin/PA1INDEX>). There are many differences between the two machine-generated translations. The Undersigned makes no representation or comment as to the accuracy of the English-language Abstract, nor as to the accuracy of the machine-generated translations provided by the JPO and NCIPI.

As to Citation B3, the website of the European Patent Office indicates that U.S. Patent No. 5,394,424 (Citation A2) and Citation B3 are related documents. After extensive comparison of the two documents, including the review of machine-generated translations, the Undersigned believes that Citation A2 is the corresponding U.S. patent to Citation B3, and, except for some of the dependent claims, is a substantial English-language translation thereof. Accordingly, the

Undersigned submits Citation A2 to fulfill the requirement to provide a concise explanation of the relevance of Citation B3, as it is presently understood by the individual designated in § 1.56(c) most knowledgeable about the content of the information therein.

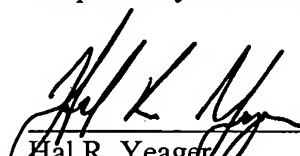
In addition to this, the Undersigned provides an English-language abstract of Citation B3, and two machine-generated translations of Citation B3, all of which are attached to the citation. The first machine-generated translation was obtained on August 24, 2001 from the online website of the Japanese Patent Office (<http://www1.ipdl.jpo.go.jp/PA1/cgi-bin/PA1INDEX>). The abstract and second machine-generated translation of Citation B3 was obtained on April 18, 2005 from the NCIPi website (<http://www19.ipdl.ncipi.go.jp/PA1/cgi-bin/PA1INDEX>). There are many differences between the two machine-generated translations. The Undersigned makes no representation or comment as to the accuracy of the English-language Abstract, nor as to the accuracy of the machine-generated translations provided by the JPO and NCIPi.

This Information Disclosure Statement is not to be construed as a representation or admission that any listed citation, by itself or in combination with other information, is material to patentability, is, in fact, prior art, or establishes or a *prima facie* case of unpatentability of any claim in the above-identified application. Additionally, this Information Disclosure Statement is not to be construed as a representation that a further search of the art has been made by Applicant(s), or that additional information relevant to the examination of this application does not exist unbeknownst to Applicant(s).

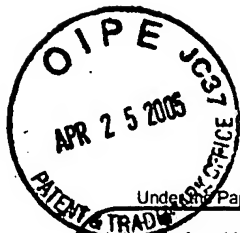
Date: April 22, 2005

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Respectfully submitted,



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Substitute for form 1449/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Complete if Known

Application Number	10/626,104
Filing Date	September 23, 2003
First Named Inventor	Michio OHKUBO
Art Unit	2828
Examiner Name	VAN ROY, TOD THOMAS
Attorney Docket Number	01ZS-105709

Sheet 1 of 2

U. S. PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code ² (if known)			
	A1	US- 5,383,214	1-17-1995	Kidoguchi, et al.	
	A2	US- 5,394,424	2-28-1995	Ijichi, et al.	
	A3	US- 6,499,888	12-31-2002	Wu	
	A3	US- 6,519,272	2-11-2003	Baliga, et al.	
	A4	US-			
	A5	US-			
	A5	US-			
	A7	US-			
	A8	US-			
	A9	US-			

FOREIGN PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ⁶
		Country Code ³ Number ⁴ Kind Code ⁵ (if known)				
	B1	JP 6-037389 A	02-10-1994	Hitachi, LTD.		Yes, attached
	B2	JP 6-188513 A	07-08-1994	Matsushita Electric Industry Co., LTD		Abstract & JPO Machine Translation
	B3	JP 7-030199 A	01-31-1995	The Furukawa Electric Co., LTD.		Abstract & JPO Machine Translation
	B4	JP 7-283484 A	10-27-1995	The Furukawa Electric Co., LTD.		Yes, attached
	B5					

Examiner
Signature

Date
Considered

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹Applicant's unique citation designation number (optional). ²See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. ⁶Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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First Named Inventor	Michio OHKUBO
Art Unit	2828
Examiner Name	VAN ROY, TOD THOMAS
Attorney Docket Number	01ZS-105709

Sheet 2 of 2

NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
	C1	SAVOLAINEN, et al., "High-Performance 980-nm Strained Layer GaInAs-GaInAsP Quantum-Well Lasers Grown by All Solid-Source, Molecular-Beam Epitaxy," IEEE PHOTONICS TECHNOLOGY LETTERS, Vol. 8, No. 8, August 1996, pp. 986-988.	
	C2	ASONEN, et al., "High-Power Operation of Aluminum-Free (lambda=0.98um) Pump Laser for Erbium-Doped Fiber Amplifier," IEEE PHOTONICS TECHNOLOGY LETTERS, Vol. 5, No. 6, June 1993, pp. 589-591.	
	C3		
	C4		
	C5		
	C6		
	C7		
	C8		
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